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2002-012642 (CW)

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**Activities of the Administrative  
Office of the U.S. Courts**

Annual Report of the Director  
Leonidas Ralph Mecham  
2001



This report was produced by  
Administrative Office of the U.S. Courts  
Office of Public Affairs  
Washington, D.C. 20544  
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# Director's Message



## 2001

On September 11 the Judicial Conference had begun its 141st session at the Supreme Court when the Chief Justice was informed the building must be evacuated. Within minutes we set up an emergency center three blocks away at the Thurgood Marshall Federal Judiciary Building to enable Conference members and committee chairs to communicate with their chambers and families, and to explore accommodation and travel options for stranded judges. The Administrative Office's emergency response team went into action and was in constant contact with the courts in New York and U.S. Marshals Service headquarters in Washington D.C. I directed our Budget Division, Office of Information and Technology, and others to clear any hurdles in providing emergency funding and equipment to impacted courts.

A week after the first-ever cancellation of a Judicial Conference session, a ballot was faxed to members so that time-sensitive matters could be resolved. The results were communicated to judges nationwide through J-Net and to the news media by video press conference.

I wrote to the Attorney General to make certain he would provide the Marshals Service with the necessary resources to protect judges and courts. Within days of the attacks I met with congressional appropriators to seek additional funds for Judicial Branch security needs, an effort that proved fruitful. Congress provided \$95 million in supplemental funding for court security. This will pay for a supervisory deputy marshal responsible for coordinating security in each circuit and each district.

The Administrative Office's new Office of Emergency Preparedness has helped numerous courts develop their own

"Judges and court staff have come to expect excellence from the Administrative Office. I am confident that in 2002 we can and will deliver."

*Director Leonidas Ralph Mecham*

crisis response, occupant emergency, and continuity of business plans. We have supplied courts with guidelines for handling mail to minimize potential exposure to anthrax. Acting on policies adopted by the Judicial Conference, Administrative Office staff made arrangements for a contractor to test courthouses for potentially dangerous biological and chemical hazards. We are actively exploring greater use of video conferencing to minimize travel, and are relying increasingly on e-mail to communicate with courts.

We will continue to take aggressive steps to safeguard courthouses and the people who work in and visit them each day. Throughout history the federal courts have been a stabilizing force in American life. It is essential that courts continue the business of dispensing justice, and that the Administrative Office continues to build upon its tradition of excellence in service to the Judiciary.

One of my most important duties is to look continuously for ways to foster better relations with Congress. Far too often the Judiciary is the forgotten branch of government, and it is our job to make certain our voice is heard. The many Judicial Conference representatives and other judges who appear at congressional hearings are invaluable. Hardly a day goes by that we do not speak with members and their staff by phone, send letters to House and Senate offices, or discuss strategies with Conference committee chairs and my Legislative Council.

Despite a Congress that began with the uncertainty of who would occupy the White House and concluded with the uncertainty that accompanies a war, the Judicial Branch fared well. The fiscal year 2002 budget is an 8.4 percent increase over the previous year; lawyers appointed to represent indigents under the Criminal Justice Act will see their compensation rates increase from \$55 for out-of-court and \$75 for in-court work to a flat rate of \$90; and 21 new courthouse construction projects will be funded.

While I am pleased that judges will receive a 3.4 percent pay adjustment in 2002, the Administrative Office will continue to push for the catch-up in compensation that is overdue and deserved. I look forward to standing beside the Chief Justice and the Judicial Branch Committee in this effort.

Over the past two years a number of new benefits have been provided to judges and Judiciary employees. More than a quarter of all court

employees now take part in the flexible benefits program, which allows each participant to, in effect, increase their annual take home pay by about \$2,000. The long-term care insurance program, health benefits premium payment plan, and the commuter benefits program all contribute positively to the quality of life of Judicial Branch employees. We are pursuing legislation to expand the list of available benefits, as well as authority to use Judiciary funds to defray some of the program costs in coming years.

The Administrative Office is proud of its careful use of taxpayer funds. In cooperation with judges and court executives, this year we published the first Handbook on Management Oversight and Stewardship. It contains a comprehensive collection of guidance and policies relating to the oversight of court administrative functions, and should help assure that chief judges have the necessary guidance and internal controls to operate their courts prudently. I also am pleased that this year the Judicial Conference unanimously adopted a progressive and responsible use policy for courts that access the Internet through the data communications network. I believe this policy is reasonable. The Administrative Office will assist the Committee on Automation and Technology in its continued work on this issue.

We have contracted with experts who have studied federal court security, the probation and pretrial services system, and lawbooks and libraries. In each area, recommendations are being reviewed carefully and implementation plans developed as part of Administrative Office efforts to refine key Judiciary programs and services.

The Case Management/Electronic Case Files system already is having a positive impact on court management and public access. Today, more than two million documents are in the system. For two years Administrative Office staff worked closely with the Committee on Court Administration and Case Management to study the difficult issues relating to privacy that have arisen as a result of the new electronic access to case files. This year the Judicial Conference adopted a policy that has earned wide support.

An effective communications plan is the cornerstone of any successful business. Reality and necessity are hastening change in the way the Judiciary communicates. The Administrative Office's commitment to reducing the mail it sends the courts was accelerated significantly this year. We have compiled accurate and targeted e-mail lists that will enable nearly all mail to the courts to be sent electronically, so that important

information will reach those who need it in a matter of minutes. Working closely with the courts, the Administrative Office selected and began installing a new e-mail system this year. That project should be complete midway through 2002.

The design and effectiveness of J-Net are being studied with the expectation that a revamped web site will even better serve the courts. Each year more Federal Judicial Television Network shows are educating and informing judges and court staff. News shows and interviews about congressional hearings and issues also are broadcast on the network.

As we set our sights on 2002, some needs stand out. There are 100 judicial vacancies and, regrettably, it has been over a decade since Congress last enacted an omnibus judgeship bill. District courts located on the southwest border and elsewhere, as well as several appellate courts, are in dire need of new positions. When the 100 vacancies are combined with the 54 judgeships that need to be created, the shortages are even more pronounced. The Administrative Office will continue to actively voice these judgeship concerns. Following two years of decline, bankruptcy filings jumped 14 percent this year. No new bankruptcy

judgeships have been created since 1992. This, too, will be high on our legislative agenda. The past decade of courthouse construction has been unprecedented in terms of growth and innovation. More needs to be done. Old buildings must be repaired or replaced. Courthouses need to be equipped with the latest technology. All federal courthouses must be secure, and all active district court judges must know they will have their own dedicated courtrooms.

The comprehensive list of issues the courts will face in 2002 is uncertain, yet my commitment to action is firm. When automated systems are outdated, the Administrative Office will reform and modernize them. When impediments to efficient court operations are encountered, we will remove them. When program shortcomings are identified, we will remedy them. Should tragedy strike at the foundation of our government, we will do everything possible to make certain that the Third Branch is prepared. Judges and court staff have come to expect excellence from the Administrative Office. I am confident that in 2002 we can and will deliver.

# The Year 2001



## Achievements & Challenges

Throughout 2001, Administrative Office employees worked as a team to achieve significant results and meet challenges. Staff rolled out major systems and made great progress in others. They provided continuing guidance and support necessary for courts to continue to discharge their duties, supported the Judicial Conference of the United States and its committees, helped obtain necessary resources from Congress, and continuously looked for ways to improve the quality of services, manage Judiciary programs better, and economize.

Through all the uncertainty that resulted from September 11, and the days and months that followed, including concerns with contaminated mail, agency staff continued meeting their day-to-day responsibilities and providing guidance for the courts, focusing on emergency planning, finding other ways to send information to reduce mail, offering anthrax testing contract services, and working with the U.S. Marshals Service.

This report describes the results of Administrative Office efforts.

## Congressional Relations

Administrative Office staff support the Judicial Conference and its committees in a variety of ways. These include conveying the policies of the Judicial Conference to members of Congress and their staffs where relevant to proposed legislation; identifying and monitoring legislation that could affect the organization and operation of the federal courts, including judgeships, workload, jurisdiction, appropriations, and courthouse facilities; drafting testimony for delivery at congressional hearings by representatives of the Judicial Conference; and responding to congressional inquiries on matters of legislation and constituent concerns. Once the Bush Administration was in place, Director Mecham, members of the Executive Committee, and key Judicial Conference committee chairs met with executive branch representatives and congressional leaders to educate them on Judiciary issues and concerns.

The first session of the 107<sup>th</sup> Congress considered a wide range of issues of importance to the Judiciary. Some Judicial Conference committee chairs, as well as other judges, testified at congressional hearings during 2001 in support of legislative proposals put forth by the Judicial Conference and in response to legislative proposals that could affect the Judiciary.

“One of the Administrative Office’s key priorities is to secure adequate funding from Congress so that the federal courts can carry out their critical work and maintain the quality of justice. Director Mecham, Judge John Heyburn II, and Judge Jane Roth deserve credit for their efforts in this area.”

*Chief Justice William H. Rehnquist*



*The Judiciary received an 8.4 percent increase over fiscal year 2001 funding in its fiscal year 2002 appropriations. In March, Federal Judicial Center Director Judge Fern Smith; Judicial Conference Budget Committee member Chief Judge Lawrence L. Piersol (D. S.D.); Chief Judge John G. Heyburn II (W.D. Ky.), the chair of the Conference Budget Committee; and AO Director Leonidas Ralph Mecham presented the Judiciary's budget request at a House hearing.*

### **Fiscal Year 2001 Budget .....**

The Judiciary operated under a series of continuing resolutions until December 21, 2000, when its appropriations were finally enacted. Funding for the Judiciary, provided within the Commerce, Justice, State and Judiciary appropriations bill, totaled \$4.25 billion, a 14 percent increase over fiscal year 2000 allotments. This level also allowed full implementation of the new staffing formulas and funding for 1,559 additional staff to handle increased workloads.

In a continuing effort to ensure optimum distribution of resources to court units, several of the funding formulas were updated, and two new formulas were implemented for fiscal year 2001. One new formula funded capital goods such as copiers, equipment and furniture, and the other funded cyclical maintenance of office space and

## **Summary of Fiscal Year 2002 Budget**

(total appropriations in thousands of dollars)

Appropriation Account	FY 2001 Appropriations	FY 2002 Total Appropriations
<b>Courts of Appeals, District Courts, and Other Judicial Services</b>		
Salaries and Expenses <sup>1</sup>	3,364,109	3,607,288
Defender Services	434,043	500,671
Fees of Jurors	59,436	48,131
Court Security <sup>1</sup>	218,836	278,198
Subtotal	4,076,424	4,434,288
Other Accounts <sup>1</sup>	198,057	273,267
<b>TOTAL APPROPRIATIONS</b>	<b>4,274,481</b>	<b>4,707,555</b>

<sup>1</sup> Includes Emergency Supplemental Funds

facilities. These formulas provide an objective, efficient, and equitable means of funding 395 court units throughout the country.

The Judiciary's fiscal year 2001 appropriations bill also authorized 10 new judgeships, provided a 2.7 percent pay increase for judges, and a 3.6 percent increase for court staff. In addition, Congress provided funds for four new courthouses and 11 courthouse repair and alteration projects. It also forward-funded four additional projects for 2002.

### **Fiscal Year 2002 Budget .....**

From October 1 until November 28, 2001, the Judiciary operated under a series of continuing resolutions until the Judiciary's fiscal year 2002 appropriations bill was enacted into law.

The Judiciary fared well in the final appropriations bill. The bill included the language necessary for judges to receive a 3.4 percent pay increase in January 2002, and provided the Judiciary with appropriations of \$4.61 billion, a \$357 million, or 8.4 percent, increase over fiscal year 2001 appropriations. When combined with fees, carryover, and other sources of funds, the enacted appropriations level will provide the court's salaries and expenses account with over a 7 percent increase, compared to fiscal year 2001 funding.

The amount provided major increases for Defender Services, which will allow for implementation

of a \$90 hourly rate for panel attorneys for both in-court and out-of-court time on May 1, 2002. Previously, panel attorneys were paid \$75 an hour for in-court work and \$55 an hour for out-of-court work in most judicial districts.

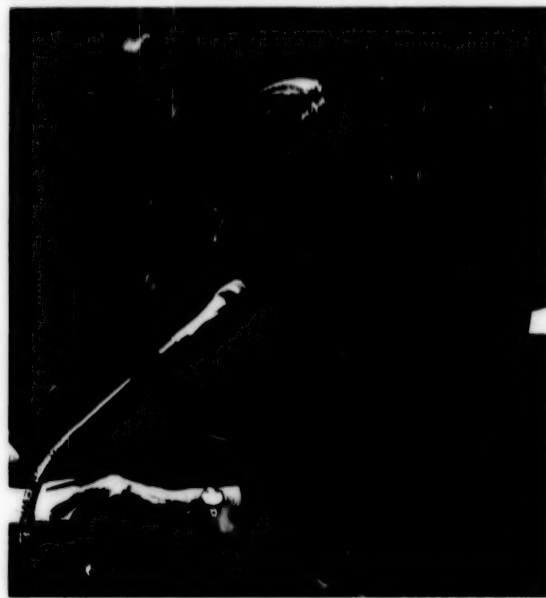
Although, at \$220.7 million, the Court Security account received \$8 million less than it requested for fiscal year 2002, additional emergency supplemental funding has been provided by Congress for security needs in fiscal year 2002.

On September 28, upon the request of Director Mecham, the Office of Management and Budget provided the Judiciary with an emergency allocation of \$19.7 million for increased court security officer hours necessary to meet the level of security in place at federal court facilities since the September 11 attacks. The Judiciary subsequently received another \$95 million as part of the Emergency Supplemental Appropriations Act for Recovery from and Response to Terrorist Attacks on the United States. This includes

- \$30 million for security upgrades to the Supreme Court building.
- \$5 million for an emergency communications back-up system.
- \$4 million for 106 new supervisory-level deputy marshals.
- \$53.5 million for the Judiciary's highest priority security needs, including more funding for court security officers, testing and mail screening associated with recent anthrax incidents, and state-of-the-art x-ray machines.

#### **Courthouse Construction .....**

As a result of Director Mecham's early transmittal of the Judiciary's fiscal year 2002 courthouse construction requirements directly to the President and congressional leaders; meetings with White House representatives that included the Director and several judges; and letters to the President from members of Congress and committee leaders, the President again this year included in his annual budget a request to fund courthouse construction projects. The President's budget request was \$216.8 million for eight of the 20 projects the Judicial Conference requested for funding in fiscal year 2002 and additional funding for four projects funded in previous years. The President's budget request also included another \$130.3 million for 14 courthouse repair and alteration projects.



*In May 2001, Judge Jane Roth (3<sup>rd</sup> Cir.), chair of the Judicial Conference Committee on Security and Facilities, told Congress that due to delays in funding new courthouse projects, a serious construction backlog now exists in the federal Judiciary. By November, Congress had passed the Treasury and General Government Appropriations Act of 2002, providing funding for 15 new courthouses, plus additional funding for six courthouse projects originally funded in previous appropriations bills, and \$146.9 million for repairs and alterations.*

Judges with courthouse projects, Director Mecham, and Administrative Office staff worked with members of Congress to gain their support for the projects.

These efforts resulted in substantial success. The authorizing committees approved every courthouse project except one requested by the Judiciary in fiscal year 2002 or funded in previous years but requiring authorization. The final appropriations bill approved by Congress included funding for 21 of the 25 authorized projects at a total of \$280.2 million. All 14 courthouse repair and alteration projects in the President's budget, plus two more previously funded projects that needed additional money, also were authorized and funded, with a total of \$146.9 million in appropriations for that program.

#### **Judicial Operations .....**

On May 9, 2001, the Judicial Conference transmitted to Congress a proposed Federal Courts



*Chief Judge Deanell Tacha (10th Cir.), chair of the Judicial Conference Committee on the Judicial Branch, testified before the House Judiciary Subcommittee on Courts, the Internet and Intellectual Property in July on H.R. 2522, the Federal Courts Improvement Bill. The bill contains 22 provisions that would improve current Judiciary practices in the areas of court operations, personnel matters, and administration.*

Improvement Act of 2001. The bill includes 22 provisions that address administrative, financial, personnel, and benefits needs of the Judiciary.

### **Judges' Pay .....**

Due to the efforts of the Judicial Conference Committee on the Judicial Branch, the three judges' associations, members of Congress, Director Mechem, and Administrative Office staff, judges received a 3.4 percent Employment Cost Index adjustment along with members of Congress and Executive Schedule employees, effective January 1, 2002. Judges have received cost-of-living increases in four of the past five years.

## **Judicial Resources .....**

During the first session of the 107<sup>th</sup> Congress, 28 nominees for Article III judgeships were confirmed—six court of appeals judges and 22 district court judges. Judicial vacancies remain high. As of January 2002, there were a total of 100—31 in the U.S. courts of appeals, 68 in the U.S. district courts, and one in the Court of International Trade.

### **Article III Judgeships**

On February 5, 2001, the Judicial Conference transmitted to Congress a request for the creation of six permanent judgeships and four temporary judgeships in the courts of appeals, 23 permanent judgeships and 21 temporary judgeships in the district courts, conversion of seven existing temporary judgeships to permanent positions, and extension of one existing temporary judgeship. The request also would give Article III status to the Article I judgeships authorized for the Northern Mariana Islands and the Virgin Islands. No action has been taken on this request.

### **Bankruptcy Judgeships**

On January 31, 2001, Representative George Gekas (R-PA) introduced the Bankruptcy Abuse Prevention and Consumer Protection Act of 2001, a bill virtually identical to the bankruptcy reform conference report pocket-vetoed by President Clinton at the close of the 106<sup>th</sup> Congress. The bill would authorize 23 new temporary bankruptcy judgeships, extend the terms of four existing temporary judgeships, and retroactively extend the term of the lapsed judgeship in the District of South Carolina. The bill was passed by the House March 1, 2001.

On January 30, 2001, Senator Charles Grassley (R-IA) introduced S. 220, the Bankruptcy Reform Act of 2001, which like its House counterpart, is virtually identical to the conference report of the 106<sup>th</sup> Congress. As passed by the Senate on March 15, 2001, the bill would create 27 new temporary bankruptcy judgeships and extend the terms of four existing temporary judgeships.

The House and Senate bills were pending action in an apparent stalemate by a congressional conference committee at the close of the first session. The conference committee held a meeting November 14 to begin reconciling the two bills.

### **Magistrate Judgeship Positions**

In fiscal year 2001, there were 456 full-time, 62 part-time, and three combination clerk/magistrate

## Southwest Border Courts

The five federal districts that border Mexico—Southern District of California, District of Arizona, District of New Mexico, Western District of Texas, and Southern District of Texas—now handle 27 percent of all federal district court criminal filings in the United States. Criminal filings in these districts have surged in recent years. However, judicial resources have fallen behind as law-enforcement and prosecutorial resources have expanded.

The Judicial Conference has recommended the addition of 18 judgeships, nine permanent and nine temporary, in the southwest border courts to meet the challenges posed by increased law-enforcement efforts along the U.S.-Mexican border. The recommended judgeships are included within the total 54 judgeships the Judicial Conference has recommended Congress create to address the needs of federal courts nationwide.

Administrative Office staff developed and produced a videotape on the border crisis to help explain the need for more judgeships in those districts. The video was shown at a House hearing on the Judiciary's 2002 budget.

judge positions. Another 14 new full-time magistrate judge positions were authorized for fiscal year 2002. Three of the 14 new positions were conversions of part-time positions to full-time status. The increase is due to growing caseloads and expanded use of magistrate judges by the district courts.

### Other Legislation .....

The Judiciary also has considerable interest in several introduced bills that could affect its operations and that were not passed during the first session. However, judges, Director Mecham, and Administrative Office staff succeeded in raising awareness in Congress of the Judiciary's position on the issues involved. These bills include

***Cameras in the Courtroom.*** This bill, reported by the Senate Judiciary Committee, would authorize the televising of federal court proceedings at the discretion of the presiding judge. A companion bill has been introduced in the House. The Judicial Conference opposes the use of cameras during district court proceedings.

***E-Government Act of 2001.*** This bill would establish a broad framework of measures that require Internet-based technology to enhance citizen access to government information and services and, in particular, would require all federal courts to maintain web sites.

***Juvenile Justice Reform.*** The Judicial Conference expressed its concern with legislation that would shift traditional state criminal prosecutions into federal courts.

***Multidistrict, Multiparty, Multiforum Trial Jurisdiction Act of 2001.*** This bill would address the Supreme Court's decision in *Lexecon v. Milberg Weiss* to enable a judge with a transferred case to retain it for trial or transfer the case to another district. The proposal is supported by the Judicial Conference and has passed the House.

***Offender Reentry and Community Safety Act of 2001.*** This bill would create federal and state demonstration projects designed to successfully reintegrate former prisoners into society.

***Bipartisan Patient Protection Act.*** This bill passed both the Senate and the House, but in different versions. The bills provide access to state and federal courts for damage claims for injuries resulting from the denial by a health plan of a medical benefit.

***Innocence Protection Act of 2001.*** This bill authorizes a person convicted of a federal crime to apply to the "appropriate federal court" for DNA testing to support a claim that he or she did not commit the crime for which the applicant was convicted, or another offense used by the sentencing court to impose a sentence of death or enhance the penalty under a career criminal statute.

***Drug Abuse Education, Prevention and Treatment Act of 2001.*** Among other provisions, this bill would increase penalties for drug offenses involving minors, revoke probation and supervised release for failure of a drug test, and establish offender reentry projects.

## Effective Management and Program Support

The Administrative Office uses contemporary management practices, innovative ideas, highly skilled staff, and modernized equipment to provide program support and guidance to federal courts.

### Disaster Response .....

Immediately following the terrorist attacks of September 11, agency staff helped federal courts by providing information on security of court facilities, such as extended hour security coverage, emergency preparedness, and continuity of operations. They helped court employees in the Southern District of New York acquire cell phones, reroute e-mail and computer networks, and work through procurement issues. They helped ensure that employees were paid accurately and on time. And, they posted information on operations of the New York courts to the Judiciary's Internet site.

After the anthrax issue arose in October, staff set up procedures for mail handling, testing for anthrax, and responding to threats from anthrax and other biological and chemical agents.

As a result of the anthrax scare, the Administrative Office has reduced significantly paper mailings to courts. Instead, agency employees increasingly are relying as much as possible on e-mail messages, e-mail broadcasts, faxes, and postings to J-Net for communications with court staff. As the Administrative Office continues to review how to communicate as effectively as possible with the courts, it is anticipated that there will be an even greater reliance on electronic communications.

Director Mecham created the Judiciary Emergency Preparedness Office to place greater emphasis on the planning aspects of crisis response.

### Long-Range Planning .....

The Administrative Office supported two long-range planning meetings of Judicial Conference committee chairs in 2001, as well as long-range planning and budgeting activities by individual committees. Planning meetings in March and September were led by Chief Judge Charles R. Butler, Jr., the Executive Committee's planning coordinator. The committee chairs focused on broad trends and issues that have possible strategic

implications for the Judiciary as an institution.

At the 2001 long-range planning meetings, discussions included consideration of the changing nature of case disposition, defining and measuring the quality of justice, long-range caseload and budget forecasts, and other issues that cut across committee lines. The long-range planning process has helped individual committees place greater emphasis on examining future program requirements, priorities, and resource needs.

Committees have identified strategic issues within their areas of responsibility and are pursuing strategic program goals and objectives. Also, a review of statistical data and other information required by Recommendation 73, *Long Range Plan for the Federal Courts*, currently is in the third phase, focusing on data needs of the district courts.

The agency's long-range planning efforts include conducting strategic studies of the Judiciary's major

**"In light of the terrorist attacks of September 11 and the ensuing anthrax contamination, the Administrative Office played a pivotal role in ensuring that the federal courts around the country had effective security precautions and mail-screening procedures in place."**

*Chief Justice William H. Rehnquist*



### Strategic Implications for the Judiciary

- Preserving the quality of justice and the excellence of judicial services.
- Coping with changing work and increasing workload.
- Managing resources effectively.
- Maintaining effective judicial governance and management mechanisms.
- Making effective use of technology and information.
- Preserving judicial independence, obtaining adequate resources, and maintaining effective external communications and relationships.
- Attracting and retaining a highly skilled workforce.

functions and programs. Several studies were underway or completed with follow-up implementation efforts in progress this year. Studies of court security needs, lawbooks and libraries, and privacy implications of electronic case files were completed. Implementation of recommendations from prior studies of space and facilities, training needs, and information technology

*The Judiciary Emergency Preparedness Office now coordinates all aspects of emergency preparedness and crisis response for the Judiciary. The staff have helped numerous courts develop their own occupant emergency plans, which will help safeguard lives and property. Staff also are working with court staff to develop Continuity of Operations Plans to ensure that core activities can continue during emergencies, and that normal operations can resume as quickly as possible.*

progressed, and a strategic study of the probation and pretrial services programs is continuing. More information on these efforts is provided in the relevant sections of this report.

### Management Oversight And Stewardship Enhancement .....

Over the past 15 years, Director Mecham has delegated key administrative management responsibility to the courts. The Administrative Office has issued a great deal of technical guidance for carrying out those functions. As requested by the Judicial Conference Committee on Court Administration and Case Management and the Committee on the Administrative Office, the Administrative

Office launched an effort this year to improve the management oversight and stewardship training and guidance it provides to chief judges and court unit executives, and to strengthen internal control activities.

A group of judges and court unit executives were instrumental in guiding the development of education programs and a *Handbook on Management Oversight and Stewardship*, in particular: Chief Judges R. Lanier Anderson III, Paul Barbadoro, R. Allen Edgar, D. Brock Hornby, David S. Kennedy, Marcia S. Kreiger, and Rodney S. Webb; Judges David W. Houston and Dennis G. Jacobs; and Court Unit Executives Brenda K. Argoe, Michael E. Gans, Kenneth Laborde, Samuel W. Phillips, Gregory B. Walters, Ronald C. Weston, and Norman E. Zoller.

The primary goal is to provide chief judges, members of court management committees, and court unit executives with guidance and tools for exercising leadership over court administrative matters. Another key goal is to build strong partnerships between chief judges and their court unit executives in the management of the court. Educational seminars were held for chief district judges and chief bankruptcy judges in April and November, respectively.

#### **Audits, Reviews, and Assistance**

In fiscal year 2001, 145 audits were completed, and Administrative Office staff conducted 63 on-site reviews and visited 313 courts and related offices to provide technical assistance. Technical assistance provided by the agency increased over the past year primarily related to coordination of construction projects and implementation of CM/ECF, e-mail, and FAS<sub>4</sub>T systems.

#### **Space and Facilities .....**

Administrative Office staff manage services provided to courts related to court security and space and facilities, and serve as the primary contacts on real property administration matters with the General Services Administration. To house the courts in 2001, the Judiciary made \$800 million in rental payments to GSA for 34.3 million square feet of space.

#### **Space and Facilities Study**

Ernst & Young, an independent consulting company, conducted a comprehensive study of the Judiciary's space and facilities program and submitted a final report with recommendations in May 2000. In fiscal year 2001, the Judicial Conference Committee on Security and Facilities and Administrative Office staff

### **Internal Control Enhancements**

- The Judiciary continued its emphasis on reviewing and strengthening internal controls, especially for travel, procurement, accountable property, Citibank Visa card programs, and information security.
- The agency's audit program was expanded to cover additional areas.
- Program offices reviewed the guidance and training they provide.
- A task force on internal controls was established so that Administrative Office and court managers can develop model internal controls plans that will be useful for the courts.

took the following actions on recommendations in the report:

- Supported retention of the Judicial Conference policy of providing one courtroom for each active district judge.
- Reaffirmed that circuit judicial councils should use the number of active district judges to be housed as a planning factor when determining the number of courtrooms for a new building.
- Supported the consolidation of all facilities functions, including courtroom technology installation and technology wiring, within the Administrative Office.
- Upheld the current Judicial Conference policy that provides senior judges with dedicated courtrooms for 10 years after taking senior status.
- Updated the long-range facilities planning process by reinstating facilitated group planning and site visits in the courts; improving the process for estimating new judgeships; projecting space needs for 10 years of growth from the date of occu-

pancy when planning a new facility; and modifying scoring criteria to prioritize projects on the Five-Year Courthouse Construction Plan.

### **Court Security**

An independent contractor conducted a study of the current court security program from February 2000 to November 2001. The final report includes options for improving the management and coordination of the court security program, enhancing the physical security of courthouses, providing after-hours security, improving the Court Security Officer program, addressing security needs during court proceedings, protecting judges in and outside the courthouse, and conducting background checks for court employees. Generally, the report concluded that improvements in the protection of the Judiciary have been substantial over the last two decades, despite competing requirements for resources and various sensitive organizational challenges. The Committee on Security and Facilities and the Administrative Office currently are reviewing the recommendations of the report.

### **International Judicial Relations . . . . .**

Increased interest in international judicial reform from other countries, international organizations, and the U.S. government in 2001 led to more involvement of federal judges and more requests for support and coordination of activities from the Judicial Conference Committee on International Judicial Relations.

As a result, Administrative Office staff

- Held briefings for 64 international delegations, including 387 judges and court administrators.
- Helped the International Judicial Relations Committee and the Library of Congress establish a rule-of-law component for the Library of Congress' Russian Leadership Program.
- Oversaw the production of a second edition and a Russian translation of *The Federal Court System in the United States: An Introduction for Judges and Judicial Administrators in Other Countries*.
- Participated in a workshop on the role of court administrators for judges and court administrators in the Volga Region of the Russian Federation.



*The Library of Congress is expanding its Russian Leadership Program to include the nation's judges among visitors to the United States. The pilot groups of Russian judges paid week-long visits to Baltimore, Maryland, Oklahoma City, Oklahoma, and Peoria, Illinois, after a two-day orientation in the nation's capital. Planned activities included sitting in on state and federal court proceedings, attending a mock trial and law school lecture on the teaching of trial practice, and a session on alternative dispute resolution. Librarian of Congress James H. Billington attended a meeting of the Judicial Conference Committee on International Judicial Relations to discuss the expansion of the Library's Program.*

- Attended a global conference in St. Petersburg, Russia, on empowerment, security, and opportunity through law and justice.
- Participated in a program for public defenders from Venezuela.
- Assisted with an American Bar Association Center for East European Legal Initiative project on court administration in Albania.
- Assisted with a World Bank study of court reporting options in the Russian Federation.

### **Federal Rules of Practice and Procedure . . . . .**

The Judicial Conference Committee on Rules of Practice and Procedure and its advisory commit-

tees draft and recommend amendments to the rules that govern all federal court proceedings and affect the entire legal system. The rules committees continued in 2001 to reach out and involve members of the Judiciary, bar, and public in the rulemaking process. Working closely with the committees, Administrative Office staff placed proposed amendments to the Federal Rules of Practice and Procedure on the Internet, received comments electronically, and prepared and circulated brochures summarizing proposed amendments. During 2001, agency staff worked to update and expand the Federal Rulemaking page on the Judiciary's Internet site.

Administrative Office staff also helped the rules committees monitor congressional activity in the rulemaking process. They advised the pertinent rules committees on 22 separate pieces of legislation that were introduced in or passed by Congress during the year and that could affect the rules of practice and procedure. Staff also prepared position papers and correspondence addressed to Congress expressing the views of the Judiciary regarding rules-related issues in various pieces of legislation.

#### **Intercircuit and Intracircuit Assignments . . . . .**

In support of the Judicial Conference Committee on Intercircuit Assignments, Administrative Office staff help process assignments for Article III judges to serve outside their home circuits or, in the case of the judges of the Court of International Trade, to serve on other Article III courts. During the first six months of 2001, a total of 90 intercircuit assignments undertaken by 58 Article III judges were processed.

In 2001, bankruptcy courts made use of 385 intracircuit or intercircuit assignments to help manage a surging caseload.

#### **Lawbooks and Libraries Study . . . . .**

The first comprehensive review of the Judiciary's use of libraries, lawbooks, and legal research materials was finished in 2001. More than six thousand judges, law clerks, staff attorneys and pro se law clerks were surveyed as part of the study.

The study found that substantial savings (\$38 million) have been achieved over the past six years, and concluded that there continues to be a need for lawbooks and other legal research

materials in hard copy format. It recommended that the Judiciary continue to fund both library and chambers collections. At the same time, the report recommended that the Judiciary promote the use of on-line legal research materials and provide on-line training to judges, law clerks, librarians, and others. The report also made various recommendations to improve library management and suggested some modest cost-control changes to chambers' core collections, space, and other program guidelines. The report provides a basis for further improvements over the next several years, with emphasis on broader circuit management and continued cost-reduction efforts.

#### **Bankruptcy Noticing Center . . . . .**

In fiscal year 2001, the Bankruptcy Noticing Center produced and mailed 84 million notices, which made it a record-setting year. The contract, managed by Administrative Office staff, has saved the Judiciary almost \$23 million since its inception in 1993.

Also, use of electronic bankruptcy noticing more than doubled in fiscal year 2001 over the previous year. It was the first full year of implementation for new Internet and fax services, and more than 2.9 million notices were sent electronically. By the end of 2001, electronic notices comprised approximately 4.5 percent of the notices sent through the center.

#### **Court Interpreting . . . . .**

In fiscal year 2001, there was a 4.7 percent decrease in the number of events requiring the use of interpreters in the courts. District courts reported that they used interpreters in 181,303 events, compared to the 190,127 events reported in fiscal year 2000. The number of languages requiring interpretation fell from 106 in 2000 to 88 in 2001. Spanish remains the most used language for interpreters in the courts, accounting for 94.5 percent of all reported events (171,331), followed by Mandarin (1,140). Other frequently used languages in fiscal year 2001 were Arabic (1,058 events), Russian (836 events), Cantonese (727 events), Vietnamese (696 event), French (487 events), Haitian Creole (475 events), and Korean (450 events).

#### **Interpreter Certification**

As of the end of fiscal year 2001, there were 810 Spanish, 12 Haitian Creole, and 9 Navajo federally certified interpreters. The Administrative Office awarded a new contract for the development and administration of a certification examination for Spanish interpreters. The new written examination

follows the Administrative Office test model used for the past 20 years and maintains the high standards for federal Judiciary-certified interpreters.

### **National Court Interpreter Database**

The Administrative Office is required by the Court Interpreters Act to maintain a current master list of all "otherwise qualified" court interpreters. The National Court Interpreter Database was posted on J-Net in July 1999 for collecting local rosters of qualified court interpreters in a multitude of languages and making them available to courts. In fiscal year 2001, Administrative Office staff updated the names and other information on the database.

### **Telephone Interpreting**

Telephone interpreting, which is used in remote locations, is very cost-effective. It is used for short proceedings, such as pretrial hearings, initial appearances, arraignments, motion hearings, and probation and pretrial services interviews.

A pilot program, which offers telephone interpreting services from the Central District of California, District of Columbia, Southern District of Florida, and the District of New Mexico provided telephone interpreting services for over 1,350 court events in 18 districts nationwide in fiscal year 2001.

### **Probation and Pretrial Services .....**

As of June 30, 2001, the number of persons under supervision totaled 103,677, 13 percent more than the number on that date in 1997. Also, an increasing proportion of offenders supervised (now 65 percent) are serving terms of supervised release following terms in prison. The size of the program and the growing volume and complexity of probation and pretrial services work were the driving factors behind the establishment in 2001 of the Office of Probation and Pretrial Services at the Administrative Office. John Hughes, formerly chief of the Federal Corrections and Supervision Division, was named assistant director, and all staff and responsibilities that fell previously under the division have been transferred to the new office.

The office continued to focus in 2001 on the supervision of offenders, officer safety, and workforce integrity issues.

- The agency hired new staff and established procedures to implement the Judicial Conference policy that requires officers and officer assistants to undergo background reinvestigations every five years.

- The Administrative Office instituted a workplace drug-testing program for officers and officer assistants.
- The Judicial Conference Committee on Criminal Law endorsed—and Director Mecham approved—a transition from the revolver to the semi-automatic pistol as the authorized firearm for officers. Transition training for firearms instructors began, and instructors from 32 districts completed training in fiscal year 2001.
- Groups of Administrative Office and subject-matter experts from probation and pretrial services offices around the country continued to develop improved procedures for the supervision of offenders, including sex offenders, and a comprehensive officer safety program.

### **Probation and Pretrial Services System Study**

Work on a strategic assessment of the federal probation and pretrial services system, begun at the end of fiscal year 2000 to review the mission and future needs of the system, continued through fiscal year 2001. The consultants will make recommendations to ensure the future quality and success of the system.

### **PACTS-ECM**

Administrative Office staff began delivering to courts the Probation and Pretrial Services Automated Case Tracking System-Electronic Case Management (PACTS-ECM) system, a new case management tool designed to help probation and pretrial services officers by making information more easily accessible. The system electronically generates, stores, and retrieves all investigation and supervision case information; provides electronic imaging of defendants and offenders; and provides interfaces to other databases.

### **Supervised Release Violation Hearings**

In response to concerns expressed by the Committee on Criminal Law and district judge representatives to the Judicial Conference about the lack of information available on hearings on violations of

supervised release, the Subcommittee on Judicial Statistics asked the Administrative Office to provide information on probation and supervised release hearings in the district court caseload data it collects. Effective January 2001, agency staff began, as an interim measure, to use the JS-10 form to collect data, by district judge, on the number of probation and supervised release proceedings held and the number of hours devoted to those proceedings.

Data on the supervised release violation hearings will be maintained as a separate category of court caseload activity. The data will be incorporated into the overall caseload information for districts, including that related to weighted caseloads.

### **Training .....**

The Administrative Office continued to provide distance-learning programming and traditional instructor-led programs to Judiciary employees in fiscal year 2001.

The courses offered were directly linked to the timely implementation of Judiciary policies and programs, such as orientation for chief judges and judicial nominees, financial management, statistical reporting, facilities management, office automation for judges, administrative and operational training for judicial secretaries/judicial assistants, orientation for probation and pretrial services officers, firearms instruction, benefits, electronic monitoring, procurement procedures, and information technology.

#### **National Training Needs**

A National Training Needs Assessment was finished in fiscal year 2000. The study analyzed, prioritized, and documented training needs throughout the Judiciary and produced a training plan that serves as a road map for the development of future training. The Administrative Office began implementing recommendations from the study and redesigned several existing training programs.

### **FJTN**

Use of the Federal Judicial Television Network (FJTN) continued in 2001 to allow the Administrative Office to expand its program offerings as new training needs developed; eliminated the need to coordinate schedules and travel for some on-site training; provided more opportu-



nities for judges and staff to obtain training and education; and provided a more consistent quality of training. The Administrative Office provides programs to 325 viewing sites around the country, making the Judiciary broadcasting network one of the largest in the federal government.

The AO Distance Learning Program also makes use of a variety of computer-based and on-line learning opportunities, including self-paced training via CD-ROM and the Web; facilitating on-line conferencing via the Web; and providing performance support/online assistance enabling courts to more effectively use software for business processes.

### **Law Clerk Recruitment and Retention .....**

In July 2001, the Administrative Office surveyed judges and their law clerks to evaluate the degree of difficulty judges experience recruiting and retaining highly qualified law clerks. Survey results and an assessment of the current employment environment were presented to the Committee on Judicial Resources in December 2001.

### **Work Measurement .....**

After implementation of new staffing formulas this year, Administrative Office staff began the first update cycle of the work measurement program in district clerks' offices, bankruptcy clerks' offices, and probation and pretrial services' offices. Each year, 15-20 additional court offices will be studied so that staffing formulas can be revised quickly to reflect new work or operational changes.

The data collected in these offices are analyzed for any significant differences from previous measurements. There were no significant differences in the

## Director's Awards

Each year, the Director solicits nominations for two awards to honor court employees. The Director's Award for Administrative Excellence honors employees of the federal courts for outstanding achievements in improving the administration of the federal judiciary. The Director's Award for Outstanding Leadership recognizes managerial employees who have made long term contributions to increase managerial effectiveness and who have developed improvements in the administration of the federal judiciary.

2001 recipient of the Director's Award for Excellence in Court Operations:

- Barry G. Wells, Automation Division Manager  
U. S. Bankruptcy Court, Virginia-Eastern

2001 recipients of the Director's Award for Outstanding Leadership:

- Michael E. Gans, Clerk of Court  
U.S. Court of Appeals, Eighth Circuit
- Joseph A. Giacobbe, Chief Probation Officer  
U.S. District Court, New York-Western

The Director also awarded Special Judiciary Leadership Awards to

- Luther D. Thomas, Clerk of Court  
U.S. District Court, Georgia-Northern
- Norman E. Zoller, Circuit Executive  
U.S. Court of Appeals, Eleventh Circuit

bankruptcy clerks' offices and the probation and pretrial services' offices. Significant differences were found in the district clerks' offices measurements for work requirements connected with automation. A new automation factor and a new administrative factor were developed and recommended.

Also, the Committee on Judicial Resources requested that the Administrative Office develop a staffing formula for death penalty law clerks. The Death Penalty Law Clerk Working Group endorsed a staffing option that subsequently was presented to the Committee on Judicial Resources.

## Communications

The Administrative Office is the Judiciary's central point of contact for public information. Staff provide a wide range of communications services for judges, court staff, and the Administrative Office, and serve as liaisons between the Judiciary and the news media. They promote public awareness and understanding of the Judiciary, facilitate and enhance communications within the Judiciary, and provide public affairs support to the Judicial Conference and its committees and to courts.

Highlights of communications activities in 2001:

### Consultation with Court Officials .....

Advisory groups play a critical role in providing user and customer input to the Administrative Office that is essential to the development of policy recommendations and to the deployment of useful programs, systems, and services.

In 2001, efforts to improve communication and collaboration between the Administrative Office and federal courts on information technology were begun, such as designating a liaison to participate in circuit information technology conferences and advisory council meetings, monthly FJTN broadcasts focusing on information technology, and increased dissemination of information through published articles and reports.

### Internet .....

The Administrative Office maintains an Internet site, [www.uscourts.gov](http://www.uscourts.gov). This web site

## Internet Use Policy

In March 2001, the Judicial Conference was notified that the Judiciary's Internet resources were being severely taxed. The Committee on Automation and Technology met to review these issues and made recommendations to the Conference. In September 2001, the Judicial Conference accepted changes to the Committee report and unanimously took the following actions:

- Reaffirmed the responsibility of the Administrative Office, under the direction of the Judicial Conference, for operations and security of the Internet gateways.
- Directed that a review of the system architecture be completed in 2002.
- Adopted, on an interim basis, a model Internet use policy, subject to the right of each court unit to impose or maintain more restrictive policies.
- Adopted a definition of "inappropriate personal use that prohibits the downloading of sexually explicit materials and materials related to gambling, illegal weapons, or terrorist activities."
- Reaffirmed that individual courts have the responsibility to enforce appropriate use policies.
- Directed the Administrative Office, as part of its regular audit process, to examine and comment upon the adequacy of the court's enforcement methods.
- Directed the Administrative Office to block such network traffic as Gnutella, Napster, Glacier, and Quake, and delegated to the committee the authority to block other tunneling protocols that may cause security breaches.

## Publications

The Administrative Office continued its efforts to enhance the quality, usefulness, and effectiveness of its publications for judges, court managers, other court employees, and the public in 2001. Most of the agency's publications are available in electronic format, as well as in print.

Among this year's publishing achievements:

- Annual Report of the Director: Reports of the Proceedings of the Judicial Conference of the United States; Activities of the Administrative Office of the U.S. Courts; Judicial Business of the U.S. Courts.
- Fair Employment Practices Report.
- Federal Court Management Report.
- Federal Court Management Statistics.
- Federal Probation.
- The Home Confinement Program Review.
- Legal Manual for United States Magistrate Judges.
- News and Views.
- Report to Congress on the Optimal Utilization of Judicial Resources.
- The Third Branch.

provides information to the public on federal courts. A redesign of the site in 2001 makes navigating easier. Content was reorganized with users' needs in mind.

Many courts make information available to the public through the Internet. As a result, they receive fewer calls regarding office hours, directions to the courthouse, and questions concerning local rules, saving staff time and money. The Judiciary also uses the Internet for research and acquisition activities.

## Privacy and Public Access

In support of the Judicial Conference Committee on Court Administration and Case Management, the Administrative Office completed a two-year study on how to balance privacy concerns with the rights of the public to access court electronic records. The Judicial Conference adopted the Report on Privacy and Public Access to Electronic Case Files in September 2001, and the Administrative Office currently is working on implementing the report's privacy policy recommendations throughout the Judiciary.

## Electronic Public Access Program

In fiscal year 2001, the Electronic Public Access Program, known as PACER, registered more than 50,000 new accounts and generated \$11.5 million for



the Judiciary. A significant portion of this revenue was used to fund the development and deployment of the Case Management/Electronic Case Files (CM/ECF) system.

#### **J-Net**

The Judiciary's intranet site, J-Net, offers a collection of information that is shared electronically. J-Net helps achieve savings as it disseminates information in place of paper documents. An assessment of the site was launched in 2001 to determine how J-Net can best meet its users needs. A final report and recommendations will be available in 2002.

#### **Community Outreach .....**

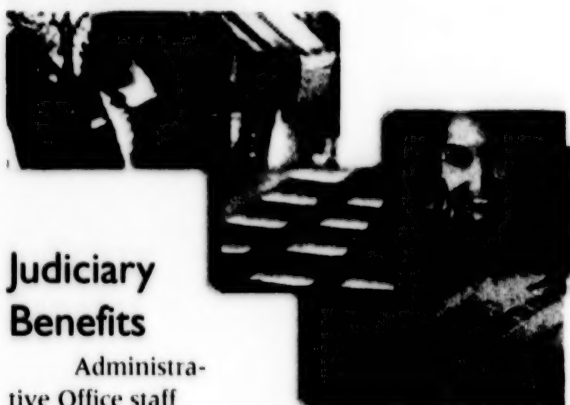
One important communications goal of the Administrative Office is increased public understanding of the federal Judiciary. This year, 4,500 high school students took part in a Judiciary-sponsored program,

*In the 2001 Open Doors of Justice program, high school students at the District Court for the District of Columbia participated enthusiastically as judges, attorneys, marshals, courtroom deputies and jurors. Judges and members of the local bar were on hand to guide students through the program activities. The event was part of the federal Judiciary's national outreach initiative on the role of the federal courts. The Open Doors theme comes from a statement by Chief Justice John Jay, who once described the work of the federal Judiciary as "carrying justice to every man's door."*

#### **Open Doors of Justice: The Bill of Rights in Your Life.**

This multi-faceted program brought judges, community leaders, high school teachers, and students together at courthouse sites to participate in a program featuring a moot court simulation, which recreated a real-life case decided by the Supreme Court, broadcast nationwide on the

Federal Judicial Television Network. After the simulation, host judges and volunteer attorneys discussed the case with students at each courthouse.



## Judiciary Benefits

Administrative Office staff develop benefits programs for judges and Judiciary employees; administer personnel, payroll, retirement, and insurance programs; and explain new benefits or changes to existing programs. Over the past two years the Judiciary has introduced a number of highly successful supplemental employee benefits. Such options as medical spending reimbursement accounts, long-term care insurance, and public transportation subsidies are among the Judiciary's efforts to attract and retain a high-quality workforce.



### Flexible Benefits .....

Flexible benefits give judges and Judiciary employees the ability to pay for certain health-care and dependent-care expenses on a pre-tax basis. The second annual open enrollment for flexible benefits was held early in fiscal year 2001. Employee participation increased to 27 percent of the workforce during the second year.

Judges and Judiciary employees increased their take home pay by \$22.3 million in 2001.

Also, beginning January 1, 2002, the maximum election amount for health care reimbursement accounts was increased from \$5,000 to \$10,000 per year. Director Mecham offered the

increased election amount as a result of requests from many judges and court employees.

### Long-Term Care Insurance .....

A second open season for purchasing long-term care insurance was held in spring 2001. The participation rate for this program is nearly 16 percent of the total Judiciary population, a rate considerably higher than the industry average for employer-sponsored long-term care programs. A unique feature of the Judiciary's program is that it guarantees coverage for current judges and judicial employees.

### Commuter Benefits .....

The Administrative Office introduced commuter benefits to the Judiciary in early 2001. Now judges and employees can pay for certain commuter mass transit and parking costs on a pre-tax basis up to \$65 a month for transit services and \$175 for parking.

### Professional Liability Insurance .....

Last year, the amount that judges can be reimbursed for purchasing professional liability insurance was set at one-half the premium cost, regardless of the amount. Previously reimbursement had been limited to one-half of the annual policy cost or \$150 per year, whichever was less. In March 2001, the cap of \$150 was lifted for other groups of court officials as well.

### Federal Employees' Group Life Insurance .....

In 1999, the Office of Personnel Management determined that a restructuring of the group life insurance premium rate schedule was necessary because of a new law that vastly expanded the number of federal employees eligible to continue coverage after retirement. If OPM's proposed new rate schedule had gone into effect, Article III judges 65 years of age or older would have been required to pay substantially more for the same life insurance benefits they had in effect on April 30, 1999.

The Administrative Office mobilized every available resource to fight OPM's action, and OPM agreed to hold in abeyance for at least two years (until April 24, 2001) the planned FEGLI rate increases for judges. OPM stated that it would continue to hold the rate increase in abeyance until at least the end of calendar year 2001.

The Administrative Office was successful in getting legislation passed that will allow the Director, in accordance with Judicial Conference policy, to pay on

behalf of all active and senior judges aged 65 or older who are enrolled in FEGLI "the full amount of any increases in the cost of the judges' insurance imposed after April 24, 1999."

## Information Technology

In 2001, Administrative Office information technology initiatives significantly improved the Judiciary's ability to collect, process, analyze, and share information.

Agency staff made available to courts blanket purchasing agreements and other competitive contracts for courts to acquire computers and related equipment software. The contracts can be used by all courts and offer streamlined options for buying automation equipment.

### Case Management/Electronic

#### Case Files (CM/ECF) .....

The Case Management/Electronic Case Files system, which permits courts to receive electronic documents and to maintain electronic case files, is bringing improved public access to federal court records while helping reduce costs for litigants and courts. As documents are filed electronically, they are provided simultaneously to attorneys of record and unrepresented parties, through the PACER system, and they can download or print and file them however they choose.

By the end of fiscal year 2001, 67 courts had begun implementing CM/ECF, a joint effort of the courts and the Administrative Office. More than 10,000 attorneys had filed documents electronically, and more than 500,000 cases involving more than two million documents are in CM/ECF systems, saving valuable court resources and providing a dramatically improved level of public access to court records.

#### New E-mail System .....

Administrative Office and court representatives collaborated with contractors to implement Lotus Domino/Notes, the Judiciary's new e-mail system. By the end of the fiscal year 2001, the D.C. Circuit, Court of Federal Claims, Judicial Panel on Multidistrict Litigation, Second Circuit, Third Circuit, Fourth Circuit, and the Administrative Office all had migrated successfully to the new system. Implementation will be complete Judiciary-wide in spring 2002.

Lotus Domino/Notes is acknowledged as the leading client server e-mail and groupware product. It is stable and offers many add-on features. It also protects the Judiciary's investment in earlier systems by allowing for integration with those systems.

To ease the transition to the new system, the Administrative Office e-mail migration team developed a J-Net site for systems managers, court unit managers, and end users.

#### Courtroom Technology .....

In fiscal year 2001, equipment, wiring, and training needed for installation of video evidence presentation systems, video-conferencing systems, and electronic means for taking the record were provided for more than 100 courthouses. Also, chief judges now have the authority to procure such equipment, as well as design and installation services to retrofit existing courtrooms.

These efforts are being facilitated by the oversight of a courthouse/courtroom technology council at the Administrative Office to ensure coordination by the space and facilities program of all projects involving courtroom technology and telephone installations, wiring and cabling installations for data networks, and installations of the Federal Judicial Television Network satellite services.

The Administrative Office is developing an online computer-based training program on procurement of courtroom technologies and design and installation of audiovisual systems.

#### Courtroom Technology Conference

A three-day conference held in June at the Thurgood Marshall Federal Judiciary Building brought together representatives from the courts, the Federal Judicial Center, the Administrative Office, and courtroom technology design and installation firms. The conference focused on service, costs, and consistency in the delivery of services to the courts. An immediate benefit was improved communications among contractors and Judiciary staff.

#### Computer Security Enhancement .....

Administrative Office staff began developing a comprehensive plan for improving computer security throughout the Judiciary. While under development, efforts will continue to aggressively



*A three-day Courtroom Technology Conference at the Administrative Office in June brought together all contracted nationwide courtroom technology design and installation firms and representatives from the courts, the Federal Judicial Center, and the Administrative Office's major program offices. The Technology Conference focused on service, cost, and consistency in the delivery of services to the courts; providing a forum for discussion of those issues necessary to develop policies, budgets, and procedures that will deliver a consistent product. An immediate benefit of the Technology Conference was improved communications among the contractors and the Judiciary. Improvements are already in the works that will affect funding, training, and design work, and may result in changes to the U.S. Courts Design Guide.*

address information security issues by promoting use of best practices, assessing effectiveness of existing controls, ensuring installation of software updates and security patches, continuing use of automated security tools, and increasing awareness of automated security issues.

#### **Accounting Systems .....**

In fiscal year 2001, Financial Accounting System for Tomorrow (FAS<sub>T</sub>) was installed in 16 districts and two circuits. At the end of the fiscal year, the system was operating in 35 districts and three circuits. Twenty additional installations are anticipated for fiscal year 2002, bringing the percentage of courts using FAS<sub>T</sub> to over 50 percent.

Alternatives were analyzed for providing federal courts with a system that provides effective financial management over civil, criminal and cash receipting activities. The system, known as Civil/Criminal Accounting Module (CCAM), will be designed so that civil and criminal accounting capability resides within the Financial Accounting System for Tomorrow (FAS<sub>T</sub>) while an interface will be developed to integrate the cash receipting component with FAS<sub>T</sub>. It is scheduled to be fully operational in all districts in fiscal year 2005.

#### **Law Clerk Hiring System .....**

The Administrative Office further developed the Federal Law Clerk Information System, a web-based

application allowing prospective applicants to locate opportunities to serve as a federal judicial law clerk using a national database accessible through the Internet. During 2001, its first year of operation, the site averaged 1,200 inquiries a day—more than 1,800 during the peak law-clerk hiring season.

#### **Jury System .....**

The Judiciary is in the midst of implementing an electronic Jury Management System that streamlines jury operations. At the end of fiscal year 2001, 74 districts were using the system. Complete deployment is expected by June 2002.

#### **Infrastructure Improvements .....**

The migration of the Data Communications Network to frame relay technology is meant to reduce cost; improve availability of data, legal, and Internet access, and support the increasing demand for more

capacity. The migration was completed in the Eleventh, Fourth, and Second Circuits; it is installed and ready for activation in the First and Third Circuits; and work is in progress in the Fifth and Eighth Circuits. Expedited installations are taking place in specific locations to meet higher-capacity demands as Lotus Notes and CM/ECF are installed.

#### ***Automated forms***

An additional 100 automated forms were placed on J-Net this year, making a total of nearly 300 available for Judiciary use. Most of the forms are in WordPerfect format to allow users to save and modify them for local use.

Also, agency staff began converting forms courts use to collect and submit data from a paper format to an electronic one, which will increase efficiency and data accuracy.

## In Profile



# The Administrative Office of the U. S. Courts

### Statutory Authority

28 U.S.C. §§ 601-612. Congress established the Administrative Office of the U.S. Courts in 1939 to provide administrative support to federal courts.

### Supervision

The Director of the Administrative Office carries out statutory responsibilities and other duties under the supervision and direction of the principal policy-making body of the Judiciary, the Judicial Conference of the United States.

### Responsibilities

All responsibility for the Administrative Office of the U.S. Courts is vested in the Director, who is the chief administrative officer for the federal courts. Under his direction, the agency carries out the following functions:

- Implements the policies of the Judicial Conference of the United States and supports its network of 24 committees (including advisory and special committees) by providing staff to plan meetings; develop agendas; prepare reports; and provide substantive analytical support to the development of issues, projects, and recommendations.
- Supports about 2,000 judges, including active and senior appellate and district court judges, bankruptcy judges, and magistrate judges.
- Advises court administrators regarding procedural and administrative matters.
- Provides program leadership and support for circuit executives, clerks of court, staff attorneys, probation and pretrial services officers, federal defenders, circuit librarians, conference attorneys/circuit mediators, bankruptcy administrators, and other court employees.

- Provides centralized core administrative functions such as payroll, personnel, and accounting services.
- Administers the Judiciary's unique personnel systems and monitors its equal employment opportunity program.
- Develops and executes the budget and provides guidance to courts for local budget execution.
- Defines resource requirements through forecasts of caseloads, work-measurement analyses, assessment of program changes, and reviews of individual court requirements.
- Provides legislative counsel and services to the Judiciary and acts as liaison with the legislative and executive branches.
- Prepares manuals and a variety of other publications.
- Collects and analyzes detailed statistics on the workload of the courts.
- Monitors and reviews the performance of programs and use of resources.
- Conducts education and training programs on administrative responsibilities.
- Audits the courts' financial operations and provides guidance on management oversight and stewardship issues.
- Handles public affairs for the Judiciary, responding to numerous inquiries from Congress, the media, and the public.
- Develops new ways for handling court business, and provides assistance to court employees to help them implement programs and improve operations.
- Develops and supports automated systems and technologies used throughout the courts.
- Coordinates with the General Services Administration the construction and management of the Judiciary's space and facilities.
- Monitors the U.S. Marshals Service's implementation of the Judicial Facilities Security Program, including court security officers, and executes security policy for the Judiciary.

## Organization

### Director

**Leonidas Ralph Mecham**  
(202) 273-3000

Serves as the chief executive of the Administrative Office, Secretary to the Judicial Conference of the United States, and ex officio member of the Executive Committee of the Judicial Conference and the Federal Judicial Center Board.

### Associate Director, Management and Operations

**Clarence A. Lee, Jr.**  
(202) 273-3015

Chief advisor to the Director on management, strategic, and tactical planning and operational matters; ensures that activities of all agency elements are functioning in support of the Director's goals; oversees audit and review activities.

### Associate Director and General Counsel

**William R. Burchill, Jr.**  
(202) 502-1100

Provides legal counsel and services to the Director and staff of the Administrative Office and to the Judicial Conference; responds to legal inquiries from judges and other court officials regarding court operations; represents agency in bid protests and other administrative litigation.

### Judicial Conference Executive Secretariat

**Karen K. Siegel, Assistant Director**  
(202) 502-2400

Coordinates the agency's performance of the staff functions required by the Judicial Conference and its committees; maintains the official files of the Judicial Conference; and responds to judges and other court personnel regarding Conference activities.

### Legislative Affairs

**Michael W. Blommer, Assistant Director**  
(202) 502-1700

Provides legislative counsel and services to the Judiciary; maintains liaison with the legislative branch; manages the coordination of matters

affecting the Judiciary with the states, legal entities, and other organizations; develops and produces judicial impact statements.

### Public Affairs

**David A. Sellers, Assistant Director**  
(202) 502-2600

Carries out public-information, community outreach, and communications programs for the federal Judiciary; manages publications efforts for the Administrative Office.

### Court Administration and Defender Services

**Noel J. Augustyn, Assistant Director**  
(202) 502-1500

Provides support to federal defenders, clerks of court, circuit executives, staff attorneys, conference attorneys, court reporters, interpreters, and bankruptcy administrators including the development of budgets, allocation of resources, and management of national programs.

### Facilities and Security

**Ross Eisenman, Assistant Director**  
(202) 502-1200

Manages services provided to the courts in the areas of court security, space and facilities, and emergency preparedness, and serves as the primary contact on real property administration matters with the General Services Administration.

### Finance and Budget

**George H. Schafer, Assistant Director**  
(202) 502-2000

Manages the budget, accounting, and financial systems of the Judiciary; prepares financial analyses on Judiciary programs; manages relocation and travel services for the courts; and serves as the Judiciary's point of contact for Congress on budget matters.

### Human Resources and Statistics

**Alton C. Ressler, Assistant Director**  
(202) 502-1170

Manages services provided to the courts in the areas of statistics, personnel, payroll, health and retirement benefits, workforce development, and dispute resolution.

**Information Technology****Melvin J. Bryson, Assistant Director****(202) 502-2300**

Administers the information resources management program of the Judiciary; oversees the development, delivery/deployment, security, and management of all national IT systems.

**Internal Services****Laura C. Minor, Assistant Director****(202) 502-4200**

Manages the Judiciary's procurement function; provides administrative support and services to the Administrative Office in areas such as budget, facilities, personnel, information technology, and information management; and administers the Administrative Office Equal Employment Opportunity programs.

**Judges Programs****Peter G. McCabe, Assistant Director****(202) 502-1800**

Provides support and services for judges in program management and policy development, and assists judges and their chambers staff in obtaining support and services from other components of the Administrative Office.

**Probation and Pretrial Services****John M. Hughes, Assistant Director****(202) 502-1600**

Determines the resource and program requirements of the probation and pretrial services system, and provides policy guidance, program evaluation services, management and technical assistance, and training to probation and pretrial services officers.

**END**

**05-30-02**